

11/1. (Amended) A computer-based system for settlement of a securities trade among an institution, broker, agent and interested parties, the system comprising:

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a processing computer configured to (i) receive a notice of order execution communication from the broker (a broker communication) comprising data fields with information concerning the executed trade; (ii) receive a institution allocation instruction communication from the institution (an institution communication) comprising data fields concerning the executed trade; where some of the data fields within the institution communication corresponding to data fields within the broker communication; and (iii) match the broker communication and the institution communication by matching data within a preselected set of the corresponding data fields in the broker and institution communications.

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14. (Amended) In a computerized communication system for exchanging post-trade information between the parties necessary for the settlement of a securities trade, the apparatus comprising:

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- a. a trade confirmation communications system comprised to receive, process and transmit communications from and to the parties;
  - b. a standing instructions data base coupled to the trade confirmation communications system having at least one data table for storing a plurality of information related to the trade stored previously by at least one of the parties;
  - c. a matching controller coupled to and within the trade confirmation communications comprised to [receive] match a trade communication containing

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notice of order execution information from one of the parties [and receive] to a communication containing a trade allocation information from another one of the parties; and  
d. the trade confirmation communications system further comprised to generate a confirmation based on information within the received communication and information stored within the standing instruction database.

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- 3/ 29. (Twice Amended) A method for operating a computer to execute the communications necessary for settlement of a securities trade among a broker, institution, agent and interested parties, the method comprising the steps of:
- a. receiving beforehand from one or more of the broker, institution and agent a set of instructions for trade settlement;
  - b. a standing instructions database storing the instructions for trade settlements;
  - c. receiving a communication from the broker containing notice of order execution information (a broker communication);
  - d. receiving a communication from the institution containing institution allocation instruction information (an institution communication);  
matching the institution communication with the broker communication based on information contained in both communications;
  - f. if there is a match, generating a confirmation for the trade based on information contained in the broker communication, information contained in the institution communication and information stored in the standing instructions database; and
  - g. making available, from a central location, the confirmation as a communication to the institution,
- 57*